

DOE 5630.14A  
6-9-92

THIS PAGE MUST BE KEPT WITH DOE 5630.14A, SAFEGUARDS AND SECURITY PROGRAM PLANNING.

DOE 5630.14A, SAFEGUARDS AND SECURITY PROGRAM PLANNING, HAS REVISED DOE 5630.14 TO REFLECT ORGANIZATIONAL TITLE, ROUTING SYMBOL, AND OTHER EDITORIAL REVISIONS REQUIRED BY SEN-6. NO SUBSTANTIVE CHANGES HAVE BEEN MADE. DUE TO THE NUMBER OF PAGES AFFECTED BY THE REVISIONS, THE ORDER HAS BEEN ISSUED AS A REVISION.



**U.S. Department of Energy**  
**Washington, D.C.**

**ORDER**

DOE 5630.14A

6-9-92

**SUBJECT: SAFEGUARDS AND SECURITY PROGRAM PLANNING**

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1. PURPOSE. To establish a standardized approach to protection program planning, and to prescribe Department of Energy (DOE) policy, objectives, responsibilities, and authority for that planning process.
2. CANCELLATION. DOE 5630.14, SAFEGUARDS AND SECURITY PROGRAM PLANNING, of 11-16-88.
3. SCOPE. The provisions of this Order apply to Departmental Elements and contractors performing work for the Department as provided by law and/or contract and as implemented by the appropriate contracting officers.
4. APPLICABILITY.
  - a. Facilities which have Category I quantities of special nuclear material (SNM), or those facilities that have Category II quantities within the same protected area that roll-up to a Category I quantity;
  - b. Facilities which have a radiological sabotage threat which would cause an unacceptable impact on the health and safety of the public;
  - c. Facilities which have an industrial sabotage threat which would cause an unacceptable impact to those DOE programs supporting national defense and security; and/or
  - d. Other facilities that Heads of Departmental Elements deem appropriate.
5. POLICY. It is Department policy to:
  - a. Protect DOE interests from theft or diversion of SNM, sabotage, espionage, loss or theft of classified/controlled matter or Government property, and other hostile acts which may cause unacceptable adverse impacts on national security or on the health and safety of the public.
  - b. Provide, in a graded manner, levels of protection appropriate to particular safeguards and security interests in accordance with the potential risks to national security and the health and safety of the public.

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- c. Reduce identified safeguards and security vulnerabilities to acceptable levels.
  - d. Use a systematic process of planning for determining and achieving an appropriate level of safeguards and security.
  - e. Consider operational safety requirements and safety impacts in protection program planning.
6. REFERENCE. DOE 5630.13A, MASTER SAFEGUARDS AND SECURITY AGREEMENTS, of 6-8-92, which establishes Department policy, requirements, responsibilities, and authorities for the development and implementation of Master Safeguards and Security Agreements (MSSAs) .
7. CONCEPT OF OPERATIONS.
- a. This Order consolidates various protection program plans, previously required reports, and planning-type documents into one planning document - the site safeguards and security plan. Site plans and master plans are no longer required.
  - b. The site safeguards and security plan is the master planning document for each DOE site. The plan is composed of three volumes: (1) the MSSAs; (2) the Facility Descriptions and Operational Plans; and (3) the Resource Plans. Taken together, the three volumes of the site safeguards and security plan depict the existing condition of safeguards and security sitewide and by facility, establish improvement priorities, and provide for an estimate of resources required for carrying out the necessary improvements.
  - c. The MSSA volume of the site safeguards and security plan contains all of the MSSAs for the site.
  - d. The Facility Descriptions and Operational Plans describe the site protection strategies, significant facility protection systems and programs currently in place.
  - e. Resource Plans present a 5-year projection of the upgrades and their associated costs in addressing the vulnerabilities and risk(s) agreed to in the MSSAs. The plans will include expected risk reduction over the 5-year span.
  - f. The site safeguards and security plan (all 3 volumes) will be reviewed and updated annually. Modifications to the MSSA will be made in accordance with DOE 5630.13A. Modifications to the facility description and operational plan and resource plan will be made by adding to, or replacing, pages in the site safeguards and security plan. The resource plan will be revised annually to

maintain a rolling 5-year perspective. Copies of modifications and updates for all 3 volumes will be provided to the Office of Safeguards and Security (SA-10) and appropriate Secretarial Officers for review, comment, and approval as appropriate.

- g. The Office of Safeguards and Security, with appropriate coordination with Headquarters and Field Elements, will issue and maintain a site safeguards and security plan planning guide that contains guidelines for development of site safeguards and security plans, including content and format of MSSAs, the facility descriptions and operational plans, and the resource plans in an effort to assure completeness and consistency and to eliminate redundancy among the three volumes.

8. RESPONSIBILITIES AND AUTHORITIES.

- a. Director of Security Affairs (SA-1) shall:

- (1) Establish Safeguards and Security policies, design basis threat statements, standards, requirements, and guidance.
- (2) Support commitments made in the site safeguards and security plans to the fullest extent possible through the budget process.
- (3) Concur in MSSAs.

- b. Director of Safeguards and Security (SA-10), shall:

- (1) Formulate safeguards and security policies, design basis threat statements, standards, requirements, and guidance.
- (2) Issue and maintain guidelines for site safeguards and security plans in consultation with Secretarial Officers.
- (3) Review and comment upon MSSAs, review and comment on the facility description and operational plan, and in accord with the program office review, comment upon the resource plan to assure it is consistent with the MSSA.
- (4) Support commitments made in site safeguards and security plans to the fullest extent possible through the budget process.
- (5) Assist in determining safeguards and security project priorities.

- c. Director of Threat Assessment (IN-30) shall disseminate to appropriate Departmental Elements any current intelligence that is important to protection program planning.

- d. Director of Security Evaluations (EH-4) shall verify, through inspections and evaluations, compliance with this Order.
- e. Director of Information Resources Management (AD-20) shall approve safeguards for Communications Security (COMSEC), Emission Security (TEMPEST), and Protected Distribution Systems, both at Headquarters and in the field.
- f. Secretarial Officers shall:
  - (1) Provide programmatic guidance and information to assist in developing the site safeguards and security plans.
  - (2) Approve MSSAs applicable to their programs.
  - (3) Review and comment on the facility description and operational plan and review, comment, and (except for the Office of the Deputy Assistant Secretary for Naval Reactors) approve, on an as-designated basis, the resource plans applicable to their program, including plan consistency with, and impact on, programmatic activities and budgets.
  - (4) Support, through the budget process, commitments made in site safeguards and security plans to the fullest extent possible.
  - (5) Coordinate within Headquarters the review and comment of the site safeguards and security plan.
  - (6) Determine safeguards and security project priorities with the assistance of the Office of Safeguards and Security.
- g. Director, Naval Nuclear Propulsion Program shall, in accordance with the responsibilities and authorities assigned by Executive Order 12344 (statutorily prescribed by 42 U.S. C. 7158, note) and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, implement and oversee all policy and practices pertaining to this DOE Order for activities under the Director's cognizance. The Director shall report annually to the Secretary on the status of Safeguards and Security programs within the Naval Nuclear Propulsion Program.
- h. Heads of Field Elements shall:
  - (1) Have primary field responsibility for compliance with this Order by all sites under their jurisdiction.

- (2) Approve the site safeguards and security plans (all three volumes) for all sites under their jurisdiction and forward the plans to the Office of Safeguards and Security and appropriate Secretarial Officers for coordinated Headquarters review, comment, and approval as appropriate.
- (3) Take appropriate action to ensure that site safeguards and security plans incorporate acceptable protection at reasonable costs to DOE safeguards and security interests. If this requires actions that alter the protection philosophy or performance standards of protection systems agreed to in approved MSSAs, Heads of Field Elements shall process revisions in accordance with DOE 5630.13A.
- (4) Direct the contractor to annually review and consolidate changes and updates to site safeguards and security plans for sites under their jurisdiction for submittal to the Office of Safeguards and Security and appropriate Secretarial Officers.
- (5) Plan funding and staffing requirements consistent with site safeguards and security plans and available or anticipated budget levels.
- (6) Implement, enforce, and maintain the protection measures and provisions of site safeguards and security plans for sites under their jurisdiction.
- (7) Document decisions made during the planning process and maintain current supporting documentation, including vulnerability analyses, cost-benefit analyses, studies, surveys, appraisals, inspections, and other appropriate tests and examinations.
- (8) Integrate relevant aspects of the site safeguards and security plans with any other planning documents.

9. REQUIREMENTS.

- a. The site safeguards and security plan planning guide will be issued within 30 days of the approval date of this Order. An implementation schedule will also be issued with the planning guide. However, sites with multiple MSSAs will not be expected to be in full compliance with this Order until 1 year after the final MSSA is issued.

- b. The following shall be used to support program forecasts and information input used in the protection program planning process:
- (1) Current DOE Orders, DOE threat guidance, and applicable intelligence assessment information developed and disseminated by Headquarters.
  - (2) Programmatic guidance and forecasts of significant changes planned in site operations, as communicated through appropriate Heads of Departmental Elements.
  - (3) Current and projected operational constraints and resources.
  - (4) Protection program policy guidance provided by Heads of Departmental Elements.

BY ORDER OF THE SECRETARY OF ENERGY:



DONALD W. PEARMAN, JR.  
Acting Director  
Administration and Human  
Resource Management